**Company Description**

As a leading global investment management firm, AB fosters diverse perspectives and embraces innovation to help our clients navigate the uncertainty of capital markets. Through high-quality research and diversified investment services, we serve institutions, individuals, and private wealth clients in major markets worldwide. Our ambition is simple: to be our clients’ most valued asset-management partner.  
  
With over 4,400 employees across 51 locations in 25 countries, our people are our advantage. We foster a culture of intellectual curiosity and collaboration to create an environment where everyone can thrive and do their best work. Whether you're producing thought-provoking research, identifying compelling investment opportunities, infusing new technologies into our business, or providing thoughtful advice to clients, we’re looking for unique voices to help lead us forward. If you’re ready to challenge your limits and build your future, join us.

**Job Description Summary**

Graduates with 0-2 years of work experience in Investment Guideline interpretation & analysis profile or profile related to pre/post trade monitoring of Client/Regulatory restrictions with very good knowledge on various instruments in the Global capital markets.

**Team/Group Description**

A key member of the Alliance Bernstein Business Services team, responsible for coding Investment Guidelines as received from the customers & monitoring these investment guidelines on a regular basis. This position is also responsible for communicating with portfolio managers & end clients to ensure proper adherence to the Investment Guidelines and for achieving the processing standards set in the Service Level Agreement with the customer.

**Role Description**

* Interpretation of Equity/Fixed Income Investment Guidelines from client and coding investment restrictions into LZ Sentinel application
* Primarily responsible for ensuring the highest standard for investment restrictions monitoring.
* Monitoring the coded rules/restrictions for failures on a daily basis to make sure the client’s actual investments are according to their investment guideline.
* Updating daily/monthly or client directed lists in LZ Sentinel. This involves Bloomberg research.
* Coding exception Report to resolve daily breaches due to Corporate Action.
* Ensuring the TAT is adhered, so we do not miss the deadline for daily Monitoring submission.
* Preparing SOPs (Standard Operating Procedures) and updating those on regular intervals.
* Responsible for account opening/closing into LZ Sentinel application

**What makes this role unique or interesting (if applicable)?**

* The role of Investment Compliance in portfolio management is to ensure that all investment activities comply with relevant laws, regulations, and internal policies. This includes monitoring investment restrictions, conducting compliance reviews, and providing guidance to portfolio managers and other investment professionals.
* The development value of this role lies in its ability to mitigate legal and reputational risks for the firm, as well as to ensure that investment decisions are made in a responsible and ethical manner. By promoting compliance with regulations and internal policies, Investment Compliance professionals help to build trust with clients and stakeholders, and contribute to the long-term success of the firm

**Job Qualifications (The ideal candidate should have the following)**

* Excellent understanding of Financial, regulatory specifically Capital markets terms and terminologies.
* Able to comprehend terms and statements by Regulators, Legal Departments, Client Relationship department and Clients stated in the Investment Management Guidelines and other relevant documents.

**Qualifications, Experience, Education**

Graduate / Post Graduate from a university of repute. Preferred stream Commerce. 0-2 years of experience

**Skills**

* Numerical ability and logical thinking
* Analytical & logical thinking
* Ability to learn
* Tenacity
* Tolerance for stress
* Good written / spoken English (Important)
* Ability to work well under time constraints and with multiple work types and projects
* Strong problem solving skills
* Attention to detail
* Ability to work in fast-paced/changing environment
* Good computer skills (Word & Excel)

**Special Knowledge (Nice to have)**

* Investment mandate interpretation.
* Securities Market regulatory framework.
* Offering Memorandum interpretation.
* SQL/Power BI